

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/814,682	03/20/2001	Zaccaria	99-40149-C

CONFIRMATION NO. 7361

## FORMALITIES LETTER



\*OC000000007174704\*

LOUIS M. HEIDELBERGER, ESQ.  
REED SMITH LLP  
2500 One Liberty Place  
1650 Market Street  
Philadelphia, PA 19103

Date Mailed: 12/10/2001

## NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

*Filing Date Granted*

The U.S. Patent and Trademark Office has received your reply on 11/30/2001 to the Notice to File Missing Parts (Notice) mailed 05/31/2001 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

The required items noted below SHOULD be filed along with any items required above. The filing date of this nonprovisional application will be the date of receipt of the items required above.

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*

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*A copy of this notice MUST be returned with the reply.*

*Hammond*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



12-20-01 Sector

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Patent application of  
Zaccaria, et al.  
Serial No.: 09/814,682  
Filed: March 20, 2001  
For: Method and Computerized System  
for Reducing Risk in an Energy  
Industry  
Examiner: Not Yet Assigned  
Attorney Docket No.: 99-40149-C

**RESPONSE TO NOTICE OF INCOMPLETE REPLY  
OF NONPROVISIONAL APPLICATION**

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Attention: Office of Initial Patent Examination Division

Dear Sir:

This is in response to a Notice Of Incomplete Reply Filing Date Granted mailed by the U.S. Patent Office on December 10, 2001, the response to which is due December 31, 2001 with a Petition for a Five Month Extension of Time based upon the Notice To File Missing Parts dated May 31, 2001.

**CERTIFICATE OF MAILING  
UNDER 37 C.F.R. 1.1.0**

I hereby certify that this paper, along with any paper referred to as being attached or enclosed, is being deposited with the United States Postal Service. "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to the Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231 .

*Marie G. Duden*

Marie G. Duden

Date: 17 December, 2001 Express Mail Label No. EL598360790US

The following papers are being submitted herewith:

- 1) Copy of eight executed combined Declarations and Powers of Attorney from parent application;
- 2) Petition for Five Month Extension of Time;
- 3) Check in the amount of \$520.00 for the Five Month Extension Fee (differential amount between the Four Month Extension of Time submitted on November 30, 2001 and the Five Month Extension of Time due by December 31, 2001);
- 4) A copy of the Notice of Incomplete Reply dated December 10, 2001.
- 5) Copy of Response to Notice to File Missing Parts of Nonprovisional Application filed November 30, 2001;
- 6) Copy of check in the amount of \$1,948.00 (\$508.00 balance due by applicant and \$1,440.00 payment for the Four Month Extension of Time);
- 7) Copy of Notice to File Missing Parts of Nonprovisional Application; and
- 8) Return postcard.

Please charge any other fee required and/or credit any over charge with respect to this response to Deposit Account No. 18-0586.

Respectfully submitted,



THOMAS J. MCWILLIAMS  
Registration No. 44,930  
REED SMITH LLP  
2500 One Liberty Place  
1650 Market Street  
Philadelphia, PA 19103  
Tel.: (215) 241-7939  
Fax: (215) 851-1420  
e-mail: tmcwilliams@reedsmith.com  
Attorney for Applicant



**COPY**  
Docket No. 99-40149-C

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re:	Patent application of Zaccaria, et al.	:	
Serial No.:	09/814,682	:	
Filed:	March 20, 2001	:	Examiner: Not Yet Assigned
For:	Method and Computerized System for Reducing Risk in an Energy Industry	:	Attorney Docket No.: 99-40149-C

**RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF NONPROVISIONAL APPLICATION**

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

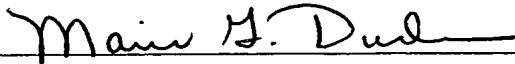
Attention: Office of Initial Patent Examination Division

Dear Sir:

This is in response to a Notice to File Missing Parts of Application - Filing Date Granted (PTO 1553) mailed by the U.S. Patent Office on May 31, 2001, the response to which is due July 31, 2001. A separate Petition and Fee for a Four Month Extension of Time is being filed concurrently herewith extending the date for response to November 30, 2001.

**CERTIFICATE OF MAILING  
UNDER 37 C.F.R. 1.1.0**

I hereby certify that this paper, along with any paper referred to as being attached or enclosed, is being deposited with the United States Postal Service. "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to the U.S. Patent and Trademark Office, P.O. Box 2327, BOX MISSING PARTS, Arlington, VA 22202.

  
Marie G. Duden

Date: 30 November, 2001 Express Mail Label No. EL871796006US

The following papers are being submitted herewith:

1. Check in the amount of \$1,948.00 (\$508.00 balance due by applicant and \$1,440.00 for the Four Month Extension of Time;
2. Copy of Notice to File Missing Parts of Nonprovisional Application; and
3. Self-addressed return postcard.

Please charge any other fee required and/or credit any over charge with respect to this response to Deposit Account No. 18-0586.

Respectfully submitted,



THOMAS J. MCWILLIAMS  
Registration No. 44,930  
REED SMITH LLP  
2500 One Liberty Place  
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e-mail: tmcwilliams@reedsmith.com  
Attorney for Applicant

Pat./Serial No. 09/814,682

Title Method and Computerized System for Reducing Risk

Appl. / Patentee Zaccaria et al

Atty. Docket # 99-40149-C

865077-20002-1893

The Patent and Trademark Office

acknowledges, and has stamped hereon, the date of the receipt of the items listed below.

1. Cert. of Mailing:

1st Class Date \_\_\_\_\_

Express Mail Date 11/30/01

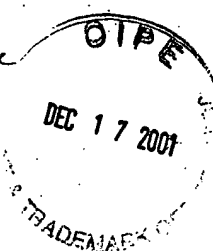
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1) Response to Notice to File Missing Parts of Nonprovisional Application

2) Petition for Four month Ext. of Time

3) Check \$ 1,948.00 (\$ 508.00 Balance due + 1,440 4 month ext.)

4) Return postcard



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Mo. <u>11</u> Year <u>2001</u>	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	
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865077-20002-1893

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SSAN

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CHECK NUMBER SD 7901663	ISSUE DATE 11/29/01	REFERENCE 000000		AMOUNT **\$1,948.00*	
ORIG NUMBER	ORIG DATE	DIV 12	CO 008	OFFICE 0	LOB 74

CHECK EXPLANATION

FILING FEE - APPLICATION SERIAL NO. 09/814,682

Please direct any questions to: 215-640-1990

VERIFY THE AUTHENTICITY OF THIS MULTITONE SECURITY DOCUMENT. CHECK BACKGROUND AREA CHANGES COLOR GRADUALLY FROM TOP TO BOTTOM.

ACE American Insurance Company  
1601 Chestnut Street 47th Floor  
Philadelphia, PA 19192



SD 7901663  
11/29/01

SSAN 0 ORIG NUMBER ORIG DATE 11/29/01 LOB 74 DIV 12 CO 008 OFFICE 0 REF 000000 AMOUNT \*\*\$1,948.00\*

PAY One thousand nine hundred forty eight and 00/100 Dollars

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PHILADELPHIA PA 19103-7301

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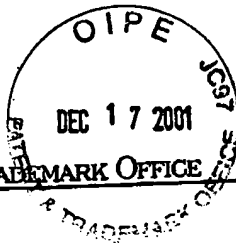
Shawmut Bank Connecticut, N.A.  
Hartford, Ct 06120

COPY

*William P. Ganger*  
ACE American Insurance Company  
AUTHORIZED SIGNATURE

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UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/814,682	03/20/2001	Zaccaria	99-40149-C

CONFIRMATION NO. 7361

FORMALITIES LETTER



\*OC00000006133337\*

LOUIS M. HEIDELBERGER, ESQ.  
 REED SMITH LLP  
 2500 One Liberty Place  
 1650 Market Street  
 Philadelphia, PA 19103

Date Mailed: 05/31/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- Total additional claim fee(s) for this application is \$378.
  - \$108 for 24 total claims over 20.
  - \$270 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 508.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
 Initial Patent Examination Division (703) 308-1202  
 PART 3 - OFFICE COPY